

**U.S. SECURITIES AND EXCHANGE COMMISSION**  
**Delegated Examining Unit**

**VACANCY ANNOUNCEMENT NUMBER: DEU-04-148**

**Opens: September 28, 2004**

**Closes: October 12, 2004**

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**PARALEGAL SPECIALIST, SK-950-9/11**

**PAY LEVEL:** SK-09: \$47,960 - \$69,043 annually  
SK-11: \$58,029 - \$84,768  
(This is bargaining unit position.)

**PROMOTION POTENTIAL:** SK-11

**VACANCIES:** One

**SCHEDULE:** Full-Time

**OFFICE:** San Francisco District Office

**LOCATION:** San Francisco CA

**This job is open to all U.S. citizens.**

**Moving Expenses will not be paid.**

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**WHAT WORK WILL YOU PERFORM**

***As a Paralegal Specialist, you will:***

- Obtain evidentiary documents produced to and received by Commission attorneys on a daily basis.
- Ensure evidentiary documents are copied or scanned into an electronic system, as necessary, and made available back to the Commission attorney or attorneys working on various cases.
- Assist legal staff with determining if the producing party complied with the terms of the Commission's subpoena.
- Create and maintain a chronological index of incoming productions using Commission software.
- Ensure electronic productions are taken to relevant Information Technology staff for processing and loading onto Commission file servers.
- Create a chronological time-line of events by reviewing and analyzing the content of documents to select and enter pertinent facts into the Commission authorized software such as CaseSoft.
- Prepare document collections, as necessary, for off-site storage.
- Provide substantive legal research and analytical assistance to legal staff.
- Review and evaluate case files and evaluate information obtained for alleged violations of Federal securities laws.
- Note and correct case file deficiencies (e.g. missing documents, inconsistent material, leads not investigated) before referring the case to the attorney.
- Prepare routine court papers, such as affidavits of service, notices of deposition, subpoenas, discovery requests, etc.
- Prepare drafts of substantive segments of briefs or action memoranda; write memoranda or reports to present and explain findings and support recommendations and conclusions.
- Participate with attorneys in the interview, selection and preparation of witnesses for testimony.
- Research and analyze agency statutes, complex points of law, precedent cases, administrative and judicial decisions or opinions, and legislative histories; locate documents and evaluate for relevance.
- Maintain a legal docket to advise attorneys of court due dates and court appearances.
- Organize complex case files and materials into a readily accessible control system.

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## **WHAT ARE THE QUALIFICATION REQUIREMENTS**

**Candidates must meet the Specialized Experience or Substitution of Education below.**

### **1. Specialized Experience**

To be considered for the SK-9 level position, your application must show a minimum of one year of specialized experience equivalent to the GS/SK-7 level. Specialized experience may have been acquired in positions requiring a thorough knowledge of legal documents, court proceedings and litigation, and research using computerized systems. Your application must show progressively responsible specialized work experience that is typically in or directly involves:

1. Searching, receiving, controlling, and indexing documentary evidence for the purpose of converting hardcopy information into various computerized formats (e.g., database entry, optical scanning, digital copying) and making them available for more permanent off-site storage.
2. Providing substantive legal research and analytical assistance to legal staff, including reviewing and evaluating information in investigation files, and participating in interview, selection and preparation of witnesses.
3. Researching and analyzing agency statutes, complex points of law, precedent cases, administrative and judicial decisions or opinions, and legislative histories; locating documents and evaluating for relevance.
4. Preparing routine court papers, such as affidavits of service, notices of deposition, subpoenas, discovery requests, etc.; preparing drafts of substantive segments of briefs or action memoranda; writing memoranda or reports to present and explain findings and support recommendations and conclusions.
5. Assisting in the development of detailed exhibits and charts; organizing complex investigation or litigation files.

**OR**

### **2. Substitution of Education**

You may qualify based on education if you possess the following:

- **For SK-9** - Two full years of progressively higher-level graduate education or master's or equivalent graduate degree (such as an LL.B. or J.D.).
- **For SK-11** - Three full years of progressively higher-level graduate education or a Ph.D. or equivalent doctoral degree in a related field of study.

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## **QUALITY RANKING FACTORS**

Quality ranking factors are used to ascertain the extent of your knowledge, skills and abilities as related to the specialized experience. If you do not address the quality ranking factors to clearly describe the extent of your experience, you may be determined ineligible or receive a low rating. These factors also will determine whether you will place among the top ranked candidates to be referred for interview.

1. Demonstrated experience organizing and maintaining automated and other files in complex investigations and litigation.
2. Demonstrated experience researching specific data and presenting written reports of the facts of legal briefs, cases, issues, charts, memorandum, depositions, subpoenas, certificates, etc.
3. Demonstrated experience using computerized and other legal research tools to identify, locate and summarize pertinent statutes, court decisions and other legal documents.

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## **HOW TO APPLY**

Candidates must provide all information requested by this job announcement, and submit:

1. A resume or (OF-612) Optional Application for Federal Employment;
  2. Separate sheet clearly describing your knowledge, skills and abilities for each quality ranking factor;
  3. Copies of college transcript(s) to substantiate educational requirements; and
  4. Social security number; beginning and ending employment dates; salary information; and citizenship. This information is necessary to determine if you meet all qualification and legal requirements for Federal Employment.
  5. Appropriate documentation if claiming veteran's preference (e.g., DD-214 and/or letter from the Veteran's Administration regarding disability status).
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If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criteria established for the position. A well-qualified displaced employee will be referred before any other qualified candidates.

Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are also strongly encouraged to apply.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

**“Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.”**

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### ***FILING APPLICATIONS***

Applications should be postmarked and mailed to U.S. Securities and Exchange Commission, Office of Human Resources, 6432 General Green Way, Alexandria, VA 22312, and received no later than the vacancy announcement closing date. Hand delivered applications from within headquarters must be personally accepted and date stamped in OHR, Mini Personnel Office, Room 1120, Mail Stop 1-3 on or before the vacancy announcement closing date.

Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. In accordance with agency policy, SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines. Applicants are reminded of legal prohibition against the use of Government envelopes or other property for other than officially approved activities. These prohibitions are contained in 5 U.S.C. 735.205, 39 U.S.C. and 18 U.S.C.

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### ***WHERE TO SEND APPLICATION***

*U.S. Securities and Exchange Commission  
6432 General Green Way  
Alexandria, Virginia 22312  
Attention: Deborah Perkins  
FAX: 703-914-0556 Voice (202) 942-7772*

***FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: <http://www.sec.gov/jobs.shtml>***

### **EQUAL EMPLOYMENT OPPORTUNITY**

***Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.***

***SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OHRAS. The decision on granting reasonable accommodations will be on a case-by-case basis.***

# EMPLOYMENT GUIDE

## U.S. Securities and Exchange Commission Office of Human Resources Alexandria, Virginia 22312

Thoroughly read this guide and provide all information requested.

This information will help us determine whether you meet legal requirements for Federal employment and evaluate your qualifications for the position.

APPLICATION	<ul style="list-style-type: none"><li>• Apply by submitting an <i>Optional Application for Federal Employment</i> (OF-612) or a résumé.</li><li>• Place in the top right corner of each page of your application: job title, grade and announcement number of the position for which you are applying.</li><li>• Provide your social security number, name, address, home and office phone numbers for the Federal employment process.</li><li>• Indicate when you are available to start work.</li><li>• Make sure your application is complete and clear. An unreadable application will <u>not</u> be considered for the position.</li></ul>
LEGAL REQUIREMENTS	<ul style="list-style-type: none"><li>• United States citizenship required for jobs in the <i>competitive civil service</i>.</li><li>• Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.</li></ul>
EDUCATION & TRAINING	<ul style="list-style-type: none"><li>• List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).</li><li>• List any certifications or diplomas from trade or vocational schools, or training courses you have had that are relevant to the position for which you are applying. Give the full name and address of the school; name of subject, beginning and ending dates of training (month and year); number of classroom hours completed; and certificate or diploma earned as appropriate.</li><li>• You must <b>submit a copy of or the official college transcript</b> as proof of your college degree and/or number of semester or quarter hours credit hours completed.</li></ul>
EXPERIENCE	<ul style="list-style-type: none"><li>• Describe fully any work experience directly related to the experience required by the vacancy announcement. List the job title of your position; name and address of employer; supervisor's name and telephone number. Regardless of whether your <u>employment is in the Federal or private sector, you must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u></li><li>• Be explicit about what you did and what kinds of skills you used in doing it; evaluators cannot read meaning into what you write. Do not assume that the evaluator will understand what you do based on your title, the kind of business you were involved in, or the name of your organization or company.</li><li>• <b>Remember to indicate whether we may contact your present and previous employers.</b></li><li>• If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held and the appointment type (i.e., career, career conditional, temporary, excepted, etc.)</li></ul>
MANDATORY	<ul style="list-style-type: none"><li>• A mandatory selective factor is compulsory.</li></ul>

<b>SELECTIVE FACTOR</b>	<ul style="list-style-type: none"> <li>One of the most common mistakes that applicants make is not addressing the mandatory factor. You are ineligible for further consideration if you do not meet the factor.</li> </ul>
<b>QUALITY RANKING FACTORS</b>	<ul style="list-style-type: none"> <li>Only applications meeting the minimum qualifications for the job are rated against a Rating Schedule.</li> <li>Use extra sheets of paper to fully, but concisely describe any technical knowledge, skills and abilities, reporting relationships, and all work experience you have that relates to each Quality Ranking Factor.</li> <li>Address each quality ranking factor to clearly describe the extent of your experience. You may be determined ineligible or receive a low rating if you not address the factors. Your response to the factors will be measured against the Rating Schedule to determine your rating score and whether you will place among the top ranked candidates to be referred to the hiring official for further consideration and interview.</li> </ul>
<b>VETERANS PREFERENCE</b>	<ul style="list-style-type: none"> <li><b><u>To receive 5-point veteran preference</u></b>, you <b><u>must</u></b> submit a copy of your Certificate of Release of Discharge from Active Duty (DD-214) for each position for which you are applying. Visit website: <a href="http://www.opm.gov/veterans">www.opm.gov/veterans</a> to verify veterans' preference.</li> <li><b><u>To receive 10-point veteran preference</u></b>, you <b><u>must</u></b> submit an Application for 10-point Veteran Preference (SF-15), along with the an official statement dated within the last 12 months from the Dept. of Veterans Affairs or Armed Forces, certifying service-connected disability.</li> </ul>
<b>SPECIAL SELECTION PRIORITY</b>	<ul style="list-style-type: none"> <li>This applies only to current or former career or career conditional Federal employee affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).</li> <li>To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position.</li> <li><u>To meet SEC's well-qualified criteria</u>, you must: (a) receive a rating of above average (3 points) or higher in each quality ranking factor; or (b) receive a superior rating (5 points) to offset each quality ranking factor rated minimally qualified (1 point). If you are a surplus or displaced employee and meet SEC's well-qualified criteria, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.</li> </ul>
<b>EVALUATION PROCEDURES</b>	<ul style="list-style-type: none"> <li>A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications on the vacancy announcement.</li> <li>A panel of subject matter experts will rank each qualified candidates' application against a Rating Schedule. The rating schedule is a tool designed specifically for rating the quality ranking factors for the position. Based on the panel's evaluation of your application, you will be given a rating score of 70 to 100. Additional points also will be given for veterans' preference, if appropriate. The names of the highest rated candidates will be put on a referral certificate and sent to the supervisor, who will make the final decision on who will be interviewed and hired.</li> </ul>
<b>FILING APPLICATION</b>	<p>You may:</p> <ol style="list-style-type: none"> <li>Mail your application through the U.S. Postal Service. Mailed applications must be received by the closing date of the announcement.</li> <li>Hand deliver your application <b><u>only</u></b> to personnel staff at the address on the vacancy announcement.</li> <li>Fax your application to the phone number listed on the announcement.</li> </ol>

	<p>Applications must be sent on or before the closing date of the announcement.</p> <ul style="list-style-type: none"> <li>• A separate application package is mandatory for each job of interest.</li> <li>• Application material not received by the deadline above will not be considered.</li> <li>• Federal regulations prohibit the use of government property for personal use.</li> </ul>
<b>WHERE TO SEND APPLICATION</b>	<p>U.S. Securities and Exchange Commission  Attention: Deborah Perkins  6432 General Green Way, Stop 0-1  Alexandria, VA 22312</p> <p>Fax Number: (703) 914-0556</p>
<b>INQUIRIES</b>	<p>For general inquiries about matters of concern, you may contact the Human Resources Specialist at (202) 942-4070.</p>
<b>FIRST LEVEL APPEAL</b>	<p>To file a formal inquiry or appeal, you must write to the Chief of the Classification, Staffing, Employee Benefits and Payroll Administration Branch at the address below, and include in your letter the information required under "Final Appeal." Your appeal must be filed not later than 90 days from the date of receipt of your letter, which informed you of your application status. The Branch Chief will review your application and send you a letter notifying you of the decision regarding your particular request or concern.</p>
<b>FINAL APPEAL</b>	<p>If you are dissatisfied with the Branch Chief's decision, you may request a final appeal within 30 calendar days of receiving the first notice of decision. To initiate a final appeal, you must write to:</p> <p>Associate Executive Director  Office of Human Resources  U.S. Securities and Exchange Commission  6432 General Green Way  <b>Alexandria, Virginia 22312</b></p> <p>Your letter should include the following information:</p> <ul style="list-style-type: none"> <li>• Your name and address;</li> <li>• Job title, grade and announcement number of the position for which you applied;</li> <li>• Describe the concern and explain why you believe there is an error or oversight.</li> <li>• If you need more information, describe the matter or process you are unsure about.</li> </ul> <p>While your concern or question is being investigated, no change will be made to your rating status.</p>

